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ABSTRACT

These guidelines are provided to assist in meeting the necessary rules and minimum standards and in making judgments on licensing. Suggestions are offered for evaluating an institution's statement of purpose as well as specific aspects of its program. The educational program is assessed with regard to its courses, duration and intensity (associate degree, baccalaureate degree, graduate degree offerings), general education, residence, certification, summer, evening and extension work, and out-of-state extension work. Its organization and administration is judged according to charter, period of operation, governing board, administration, qualification of personnel, safety and health provisions, unethical practices, cancellation and refund policy, agent, catalog, and discrimination. The faculty is defined in terms of educational credentials, size, workload; definition of responsibilities, professional growth, appointment, and stability. The library is evaluated as to policy, direction and supervision, space, holdings, annual budget, use of other resources, classification system, and records. Admissions, counseling and guidance, health services, placement, financial aid, and records are examined for student assessment, and facilities and general finances are also examined. (LBH)

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GUIDELINES FOR THE INTERPRETATION AND IMPLEMENTATION OF THE RULES AND STANDARDS FOR LICENSING NON-PUBLIC EDUCATIONAL INSTITUTIONS TO CONFER DEGREES

U.S. DEPARTMENT OF HEALTH, EDUCATION & WELFARE
NATIONAL INSTITUTE OF EDUCATION
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THE BOARD OF GOVERNORS
OF
THE UNIVERSITY OF NORTH CAROLINA

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I. INTRODUCTION

These guidelines interpret the rules and minimum standards under which the Board of Governors of The University of North Carolina issues licenses to non-public educational institutions to confer degrees in North Carolina. They are provided to assist both institutions seeking to meet the necessary rules and minimum standards and examiners of the University in making judgments concerning the institutions.

II. STATEMENT OF PURPOSE

The broad purpose of higher education is three-fold: (1) The preservation and transmission of knowledge through teaching in advance of secondary education, (2) the discovery of knowledge through research, and (3) the application of knowledge through public service. A diversity and variety of autonomous institutions, each with a special purpose of its own, offer a multiplicity of programs which collectively constitute the effort in the United States to achieve the broad purpose of higher education.

Each institution pronounces its role in the educational spectrum through a statement of purpose. This statement, the philosophy and a listing of objectives of the institution, should include definitions of the educational climate to be established, the nature of the education students are expected to have upon graduation, the occupational and other outcomes expected from the programs, and the aspects of individual growth to be enriched or developed.

The statement should be operationally effective and should be reviewed for possible revision and improvement at periodic intervals. An interval of five years is the usual time period.

The statement should represent not only the concept but the practice of the institution. The institution should be prepared to present evidence that the

various elements of its operation (i.e., faculty work, educational program, student life, finances, physical facilities, organization and administration) are structured to support the purpose stated. The institution's integrity is therefore judged in terms of both its stated purpose and its conscientious effort to fulfill this purpose.

The statement of purpose should be published in the catalog of the institution. Copies of any subsequent amendments should be filed with the President of The University of North Carolina or his designee.

III. EDUCATIONAL PROGRAM

The program of instruction offered by the institution shall reflect and support the purpose of the institution. The program should include provisions for (1) the development of skills and techniques of learning, (2) opportunities for general education, and (3) preprofessional, professional, or occupational education, each to the extent appropriate to the purpose of the institution.

(1) Courses. Course aims, requirements, standards and procedures for evaluation should be clearly stated and available in writing. The quality and context of each course should be such as may reasonably and adequately achieve the stated objectives. Where an institution provides for regular and extensive academic review of courses, the review may be utilized as evidence that the quality and context of each course reasonably and adequately achieve the stated objectives.

(2) Duration and Intensity. The program of instruction should include course work and other educational activities extending over a sufficient period of time and in sufficient intensity to fulfill the purpose of the institution. The academic year, regardless of its organization, is normally at least 30 weeks in duration.

(a) Associate Degree. Each educational program leading to an associate degree normally consists of courses carrying a minimum of 60 semester credit hours* or 90 quarter hours or the equivalent in courses or other measurement used by the institution. The associate degree program normally requires full-time attendance for two academic years or equivalent in part-time attendance, independent study, work study, or other similar program, but an institution may award the associate degree to students who have completed the course requirements at an accelerated pace or can otherwise demonstrate that they have met the measurable objectives of the program.

The following associate degree designations as defined are acceptable:

(i) The associate in arts (A.A.) degree -- awarded to those who successfully complete programs which emphasize the liberal arts and other fine and performing arts. Normally, not less than 45 semester credit hours or 68 quarter hours in general education (liberal arts content) are required. Such programs are transfer oriented. The general education core is not directed toward specialized study or

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* A credit hour is the unit by which an institution may measure its course work. The number of credit hours assigned to a course is usually defined by the number of hours per week in class and the number of weeks in the session. One credit hour is usually assigned to a class that meets 50 minutes a week over a period of a semester, quarter, or term; in laboratory, field work, drawing, music, practical arts, physical education or similar type of instruction, one credit hour is assigned for a session that meets 2 or 3 hours a week for a semester, quarter, or term. Quarter credit hours and semester credit hours are the two most common systems of measuring course work. Institutions on the trimester plan generally use the semester credit hour system. Courses offered in a calendar other than semester or quarter, including summer sessions, may be measured in term credit hours or stated in semester credit hours or quarter credit hours.

A semester credit hour is a credit hour based on the semester calendar which is usually divided into terms of 17 weeks.

A quarter credit hour is a credit hour based on the quarter calendar which is usually divided into terms of 11 weeks.

Source: Definitions of Student Personnel Terms in Higher Education, U. S. Department of Health, Education, and Welfare, 1968.

specific occupational or professional objectives. Such programs are transfer oriented.

(ii) The associate in science (A.S.) degree -- awarded to those who successfully complete programs which emphasize mathematics and/or the biological or physical sciences, or which meet the general education requirements of this degree. Normally, not less than 30 semester credit hours or 45 quarter hours in general education are required. Such programs are designed to serve both career and transfer objectives.

(iii) The associate in applied science (A.A.S.) degree -- awarded to those who successfully complete programs which emphasize preparation in the applied arts and sciences for careers, typically at the technical or semi-professional level. Normally not less than 15 semester credit hours or 23 quarter hours in general education and not less than 30 semester credit hours or 45 quarter hours in the area of specialized preparation are required. Such programs may be transferable.

(b) Baccalaureate Degree. Each program of instruction leading to a baccalaureate degree normally consists of courses carrying a minimum of 120 semester credit hours or 180 quarter hours or the equivalent in courses or other measurement used by the institution. Normally full-time attendance for four academic years or the equivalent in part-time attendance, independent study, work study, or other similar programs are required, but institutions may award the baccalaureate degree to students who have completed the credit requirements at an accelerated pace or can otherwise demonstrate that they have met the measurable objectives of the program.

(c) Graduate Degree. A graduate or postbaccalaureate degree normally represents the completion of a program beyond the baccalaureate level of one

or more academic years of full-time course work or equivalent in part-time attendance, independent study, work study, or other similar program. An institution may award a graduate degree to students who have completed the requirements of a graduate program at an accelerated pace or can otherwise demonstrate that they have met the measurable objectives of the program. The following graduate degrees as defined are acceptable:

(i) The master's degree - awarded to those who successfully complete a program beyond the baccalaureate level in the liberal arts, sciences, or professional fields normally requiring full-time study for not less than one or more than two academic years.

(ii) The intermediate degree (designated variously, e.g., specialist in professional education, engineer in engineering, and candidate or licentiate in liberal arts) - awarded to those who successfully complete programs at least one academic year beyond the master's level but which do not reach the doctor's level. Normally, such programs qualify persons as highly knowledgeable and skilled in given fields rather than competent in carrying out independent research and scholarly work.

(iii) The doctor's degree - awarded to those who successfully complete programs requiring three or more academic years of full-time graduate study and a demonstration of a capacity to do independent work. Such demonstration may take the form of completed research (doctor of philosophy), musical composition or performance (doctor of musical arts), clinical competence (doctor of medicine), or the knowledge and capacity to analyze legal problems (juris doctor).

(3) General Education. A generally educated person is one who has developed capacities to know, to understand, to decide, to express, and to act. He knows the facts or how to find them; understands those facts with understanding and perspective; decides only after understanding and conscious evaluation; expresses those decisions with ease and grace; and acts when necessary. The development of such capacities is facilitated by exposure to the three divisions of human knowledge: (1) the world of nature -- the life and physical sciences, (2) the world of man in relation to man -- the social sciences, and (3) the world of the spirit and imagination -- the humanities. The prescriptions or electives in general education should relate as closely as possible to the individual interests and professional goals of students.

(4) Residence. The award of an associate or baccalaureate degree should normally entail 25 percent of the work being done through the institution awarding the degree. The method and procedures used by the institution in evaluating and granting credit for work done elsewhere should be described in writing. Acceptable are methods and procedures recommended by the Joint Committee on College Transfer Students in Guidelines for Transfer*.

(5) Certification. Upon satisfactory completion of an educational program, the student is given appropriate educational credentials (such as the associate or baccalaureate degree) by the institution, certifying that the program of instruction has been satisfactorily completed by the student and that he has obtained in satisfactory measure the educational purpose of the program.

(6) Summer, Evening, and Extension Work. Summer, evening, and extension work should be considered part of the total program of the

*Published by The University of North Carolina (October 1973). Copies are available upon request.

institution and be judged by the criteria as used for the sessions and courses offered by the institution in the regular academic year. Each off-campus center or branch should provide adequate classroom, laboratory, and library facilities, as well as adequate administration, faculty, and support staff.

(7) Extension Work Offered by Out-of State Institutions. Any institution legally operating in another state that wishes to establish in North Carolina a branch or branches which offer courses leading to a degree is to apply in the same manner for a license to grant degrees, and is to be judged by the same standards as institutions applying for initial licensure in North Carolina.

IV. ORGANIZATION AND ADMINISTRATION

An institution shall be organized to provide efficient administrative, program, and resource support for the attainment of its purpose.

(1) Charter. The institution shall be chartered by the State of North Carolina. If chartered by a state other than North Carolina, the institution shall have a certificate of authority to conduct its affairs in North Carolina issued by the Secretary of State of North Carolina.

(2) Period of Operation. The institution shall have been in operation for a period of at least two years before requesting authority to grant degrees.

(3) Governing Board. The institution shall operate under a governing board of directors (as required for state charter) responsible for all legal aspects of operations, the formulation of policy, the selection of the chief executive officer, and the appointment of subordinate personnel: The board should develop and maintain bylaws consistent with the purposes of the institution and specifying its membership, manner of appointment, terms of

office, and all other matters related to its duties, responsibilities, and procedures.

(4) Administration. Administrative responsibilities and concomitant authority should be clearly specified. Up-to-date organizational charts showing the lines of authority and the relationships among component units and personnel should be maintained.

The role of each group comprising an institution (i.e., trustees, administrators, faculty, students) and the nature and extent of the involvement of each in the resolution of issues and the determination of policies should be available in writing for distribution to all constituent groups.

(5) Qualifications of Personnel. All persons connected with the institution from members of the governing board and administration to the instructional staff shall be of good reputation and character. The administrative and instructional staff shall possess the education, experience, and other qualifications such as may reasonably assure that the students will receive education consistent with the objectives of the program of instruction.

(6) Safety and Health Provisions. Provisions for the safety and health of all persons upon the premises of the institution shall be maintained in compliance with appropriate laws and ordinances.

(7) Unethical Practices. Neither the institution nor its agents shall engage in advertising, sales, collection, credit, or other practices of any type which are false, deceptive, misleading, or unfair.

(8) Cancellation and Refund Policy. The institution shall have and maintain a fair and equitable cancellation and refund policy. Such policy shall appear in the catalog of the institution and other appropriate publications.

(9) Agents. Any agent of the institution shall be an individual of

good character and reputation and shall represent only a post-secondary educational institution or institutions which meet the minimum standards established hereunder.

(10) Catalog. The institution shall provide students and other interested persons with a catalog or brochure containing information describing the programs offered; program objectives; length of program; schedule of tuition, fees, and all other charges and expenses necessary for completion of the course of study; cancellation and refund policies; and such other material facts concerning the institution as are reasonably likely to affect the decision of the student to enroll therein.

(11) Discrimination. No discrimination, as prescribed by law, shall exist on the basis of race, creed, color, sex, or national origin, but this should not impair or abridge the right of members of any particular group to establish and maintain educational institutions worthy of licensure to award degrees which are primarily for their own members or to further the principles for which they stand.

V. FACULTY

The faculty shall consist of professionally prepared and able teachers whose education, experience, and other qualifications are such as may reasonably insure that students will receive education consistent with the objectives of the program of study.

(1) Educational Credentials. A majority of faculty members teaching in a two-year institution offering the associate degree should hold the master's degree or the equivalent in the field of specialization

in which they are teaching. Exceptions should be justified by special competence in their field of knowledge.

Full-time faculty teaching in a four-year institution offering the baccalaureate degree should hold the master's degree or the equivalent. A majority of the faculty should have satisfactorily completed work beyond the master's degree in an accredited graduate school, and a significant number should hold the doctor's degree.

(2) Size. The faculty shall be sufficient in number and the proportion of part-time members and the student-teacher ratio shall be such as to assure the effectiveness of the educational program, including counseling and advisement of students. The faculty should not number fewer than four full-time equivalent members who should be representative of the principal areas of instruction offered by the institution.

(3) Work Load. No teacher should be assigned to teach in more than three fields of instruction, preferably in not more than two. Teaching loads greater than 20 credit hours per week, including evening classes, in a two-year institution and 16 credit hours in a four-year institution should be justified.

(4) Definition of Responsibilities. Faculty responsibilities should be defined in terms of hours taught, course development and research required, number of students, level of instruction, research expected, and administrative, committee, and counseling assignments.

(5) Professional Growth. Faculty individually should engage in continuing professional study or research appropriate to their responsibilities. Provision should be made for attendance at professional meetings and periodic study leaves to encourage continued competence, effectiveness, and productivity.

(6) Appointment. Faculty should be appointed by official action of the

governing board, upon recommendation by the chief administrative officer. Notice of appointment should be in writing and should contain the conditions of employment and personnel policies with regard to academic freedom and economic security.

(7) Stability. The faculty conducting classes in upper division courses should be stable. The institution should provide a roster as evidence of such stability. The institution is encouraged to induce such stability with adequate salaries, fringe benefits, and tenure status.

VI. LIBRARY

Many educators regard the library as the most important facility in influencing the intellectual climate of the institution. It is an important resource for both the beginning student and the mature scholar.

(1) Policy. Each institution should formulate, adopt, and implement a library policy adequate for the support of the institution's statement of purpose, the nature of the educational program, and the enrollment. The policy should define the size, nature, and scope of the library holdings; the nature of faculty involvement in the determination of library policy; and the extent to which the library is planned to be self-contained or to draw on other sources.

(2) Direction and Supervision. The library should be under the direction and supervision of a trained librarian with a sufficient number of qualified professionals and assistants to serve the needs of students and faculty.

(3) Space. Staff, study, and work space should be tailored to the educational program offered. A program relying heavily on independent study, for example, would require a higher proportion of work and study space.

(4) Holdings. The holdings of a library should be appropriate to support the purpose, program offerings, and enrollment of the institution. A four-year institution with a library of fewer than 50,000 titles, a two-year college with fewer than 20,000 titles, or a proprietary institution offering a degree with fewer than 5,000 titles should justify the adequacy of the size of its holdings. It is likely that no library in a proprietary institution will be judged adequate with a holding of less than 2,000 books.

(5) Annual Budget. An annual allotment should be made to the budget of the library for the purchase of books, periodicals, journals, non-print media, and audio-visual equipment appropriate to the programs offered and the number of students served. If the library's holdings are seriously deficient or if there is rapid expansion of student population or course offerings, additional resources should be allocated with deliberate speed to meet adequately the needs.

(6) Use of Other Resources. Utilization of other available library resources is encouraged. Other resources, however, are no substitute for a library's own basic collection of much-used reference works, general interest periodicals, books needed for various undergraduate courses, and other books in frequent demand without regard to their availability elsewhere. The greatest use of other libraries is in specialized subjects and materials for which there is little demand.

(7) Classification System. The Library of Congress or other appropriate system of classification should be used.

(8) Records. Up-to-date records of circulation, books and periodicals, inventory data, and finances should be available.

VII. STUDENTS

The institution should provide adequate services for students apart from the formal instructional experience of the classroom and laboratory. Usually, these services include appropriate extracurricular activities, admissions, orientation, counseling and guidance, financial assistance, health services, placement facilities, and student records. Responsibility for these services should reside in a single head for administration.

(1) Admissions. The institution should have a clearly defined admissions policy. High school graduation or the demonstrable equivalent of that level of educational achievement is required for matriculation. Admission should be determined by the readiness and ability of a student to profit from the instruction. No student is to be excluded for reason of race, sex, creed, or national origin.

(2) Counseling and Guidance. Appropriate counseling and guidance services to students should be available. An advisor should be assigned to each student to assist him in program planning, course selection, and other academic matters. Special care should be taken to maintain and protect confidentiality of counseling records.

(3) Health Services. Suitable health services should be readily available on or near the institution. The extent of these services and degree of responsibility of the institution for providing them should be stated in the catalog and other appropriate publications.

(4) Placement. The placement office should render vocational counseling services, serve as a clearinghouse for part-time and summer jobs, and provide copies of student records to prospective employees. The quality of placement services at a proprietary institution should be consistent with its published statements.

(5) Financial Aid. Normally, financial aid to students is administered through a single campus office. The four principal ways in which a student may receive financial aid while in college are scholarships, grants, loans, and jobs. The financial aid officer combines two or more different types of assistance into a single aid "package" for needy students. The administration and distribution of financial assistance should be conducted according to written policies and procedures developed in keeping with recognized principles of financial aid.

(6) Records. Adequate records shall be maintained by the institution to show student attendance, progress, or grades, and to evidence that satisfactory standards are enforced relating to attendance, progress, and performance.

VIII. FACILITIES

The physical facilities (buildings, classrooms, equipment, furniture, grounds, instructional materials, machinery, etc.) shall be adequate to support education of good quality. The site should be free of traffic hazards and distracting noises. General tests of usefulness, cleanliness, and maintenance should be met.

(1) Compliance with Safety and Health Laws. The facilities shall comply with all pertinent ordinances and laws relative to the safety and health of persons on the campus.

(2) Laboratories and Equipment. Laboratories and equipment should be adequate for effective instruction and learning.

(3) Supportive Services. Supportive services, faculty and staff offices, and other facilities should be adequate in size and number to accommodate the students and staff.

(4) Housing. Student housing owned, maintained, or approved by the

institution, shall be appropriate, safe, and adequate.

(5) Non-Ownership. If the physical facility is not owned by the institution, evidence through a lease or other means should be presented that facilities are available for a sufficient duration to demonstrate the stability of the institution.

IX. FINANCES

The institution should have financial resources adequate to support its purpose. These resources should be characterized by a stability indicating that the institution is capable of maintaining continuity for an extended period of time. The adequacy of financial support should be judged on the basis of such considerations as (1) the expenditure per student for educational purposes, (2) the income per student from all sources, (3) debt service costs, and (4) the financial procedures utilized.

(1) Plan for Financial Development. A sound plan for long-range financial development should be maintained on a continuing basis and be readily available.

(2) Records. The institution shall maintain adequate financial records audited annually by an independent certified public accountant knowledgeable in college accounting practices. Procedures appropriate to college accounting such as those recommended by the American Council on Education should be employed.

(3) Management. The business and financial management should be centralized under a qualified and bonded business officer responsible to the chief executive officer, and charged with the supervision of the budget.

(4) Insurance. Adequate insurance should be carried to protect the institution's financial interests. The amount of insurance should be sufficient to maintain the solvency of the institution in case of loss by fire or other causes, to protect the institution in instances of personal and public liability, and to assure continuity of the operation of the institution.

To insure that an institution is financially sound and capable of refunding to students advance payments for tuition and other charges in the event the institution is unable to fulfill its commitments to students, the institution should be bonded in a penal sum equal to the amount of prepaid tuition held by the institution at any given time of the year, but in no instance shall the penal sum of the bond be less than $10,000.